



## MANAGEMENT PROCEDURE Carlsbad Field Office

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Revision 3

Title: **MANAGEMENT ASSESSMENT**

Manager, Carlsbad Field Office

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Effective Date:

*4/12/02*

### 1.0 **PURPOSE**

The purpose of this procedure is to define the process, responsibilities, and controls for the performance of Carlsbad Field Office (CBFO) Quality Assurance Program management assessments.

### 2.0 **SCOPE**

This procedure applies to all quality-affecting activities for which the CBFO has direct management responsibility. This management procedure (MP) supercedes MP 9.1, Revision 2

### 3.0 **REFERENCES AND DEFINITIONS**

#### 3.1 References

U.S. Department of Energy (DOE) Carlsbad Area Office, Quality Assurance Program Document (QAPD), CAO-94-1012.

DOE CBFO Management Procedure (MP) 2.1, Personnel Qualification and Training

DOE CBFO MP 4.9, Quality Assurance Records

#### 3.2 Definition

Management Assessment - An assessment of the CBFO Quality Assurance (QA) program, conducted under the leadership of the CBFO Manager, to evaluate the scope, status, adequacy, and implementation effectiveness of the QA program that enables CBFO to meet customer requirements and expectations. This assessment evaluates the effectiveness of the management of the integrated QA program to support activities performed in compliance with the CBFO QAPD requirements.

### 4.0 **RESPONSIBILITIES**

The authority for implementing the activities identified in this procedure may be delegated to another individual unless specifically prohibited by this procedure. All CBFO staff will provide support to the CBFO Manager's efforts to conduct an effective management assessment of CBFO activities. However, the ultimate responsibility remains with the individual originally assigned responsibility.

#### 4.1 CBFO Manager

The CBFO Manager shall ensure that management assessments are conducted regularly and reported at least annually. The CBFO Manager shall appoint the assessment team leader. Also, the CBFO Manager shall review and approve the management assessment plan and report.

#### 4.2 CBFO Quality Assurance Manager

4.2.1 The CBFO QA Manager shall prepare and maintain this management procedure.

4.2.2 The CBFO QA Manager shall provide for the administrative control of the management assessment process by performing the following functions under the authority and oversight of the CBFO Manager:

- A. Prepare a schedule for performing the management assessment and follow-up
- B. Coordinate the selection of an independent team of personnel to perform the management assessment
- C. Prepare and provide formal training to CBFO personnel and assessment personnel in management and self-assessment program requirements and documents the training in the final report
- D. Track management assessment issues identified by the CBFO Manager for corrective action

#### 4.3 CBFO Assistant Managers/Team Leaders

Assistant managers and team leaders shall provide appropriate and timely responses and actions for the correction of any deficiencies reported in their area of responsibility.

#### 4.4 Assessment Team Leader

The assessment team leader shall conduct of the assessment and ensure prompt feedback to the management of the affected organization and the CBFO Manager.

#### 4.5 Assessment Team Members

Assessment team members shall perform their assigned portions of the management assessment in accordance with the management assessment plan and as directed by the assessment team leader.

#### 4.6 CBFO Staff

All CBFO staff will provide support to the CBFO Manager's efforts to conduct an effective management assessment of CBFO activities.

**5.0**    **PROCEDURE****5.1**    **Assessment Goals**

5.1.1    Management assessments are conducted regularly and reported at least annually. The report should identify the adequacy, implementation, and effectiveness of the following, as appropriate:

- A.    QA programs established to support activities performed in accordance with the CBFO QAPD
- B.    The effectiveness of the management of the integrated QA program established to support activities performed in accordance with the CBFO QAPD.
- C.    Quality planning and deployment controls, including policies, procedures, and selection of controls
- D.    Corrective action system implementation
- E.    Organizational structure and interfaces
- F.    Indoctrination, training, and position qualification
- G.    Adequacy of resources and personnel provided to achieve and assure quality
- H.    Strategic planning
- I.    Performance indicators
- J.    Supervisory oversight and support
- K.    Other areas as deemed appropriate by the manager

**5.2**    **Management Assessment Methods**

Management assessments shall be performed using one or more of the following methods:

- 5.2.1    Observations of ongoing activities at CBFO
- 5.2.2    Interviews with CBFO personnel
- 5.2.3    Reviews of results from previous audits, surveillances, corrective actions, past management assessment reports, and/or trend reports, along with recommendations and other information sources to be used as background information
- 5.2.4    Reviews of work products
- 5.2.5    Reviews of recent and ongoing technical processes (e.g., technical document development) for adequacy, implementation, or effectiveness of the controls applied to the process
- 5.2.6    Reviews of management involvement in the QA program

5.2.7 Other methods as appropriate (checklists, performance indicators, etc.)

5.3 Preparation for Management Assessment

5.3.1 Assessment Team Leader Selection

The CBFO Manager shall appoint the assessment team leader.

5.3.2 QA Manager

The QA Manager shall coordinate the following activities with the assessment team leader:

- A. Development of the management assessment schedule and scope
- B. Selection of a team with sufficient training and experience commensurate with the scope of the management assessment
- C. Documentation of completion of assessment team members' provided training in the content and applicability of the CBFO QAPD and management procedures
- D. Preparation of the management assessment plan in accordance with paragraph 5.3.3. The assessment team leader shall sign the plan and forward it to the CBFO Manager for approval.

5.3.3 Management Assessment Plan

The management assessment plan should identify or reference (as appropriate) the following:

- A. Organization being assessed
- B. Methods (paragraph 5.2) to be used for performing the assessment
- C. The schedule and scope of the management assessment
- D. The use of performance indicators as a basis for determining effectiveness
- E. Applicable CBFO procedures for performing the management assessment

5.4 Conducting Management Assessments

5.4.1 The assessment team members shall:

- A. Perform assigned portions of the management assessment in accordance with the management assessment plan and as directed by the assessment team leader.
- B. Provide results of evaluations to the assessment team leader, including the objective evidence reviewed, any draft recommendations, and a list of personnel contacted.

**NOTE: Should any apparent noncompliance be discovered, the CBFO assessment team leader should be notified to determine if further action is warranted.**

5.4.2 The assessment team leader, during the performance of the management assessment, shall:

- A. Conduct periodic meetings with the management assessment team to discuss status, direction, progress, and results of the assessment on an as-needed basis
- B. Conduct briefings with the CBFO assistant managers and team leaders of the organizations being assessed to discuss status, items of interest, results, and recommendations
- C. Ensure that management assessment concerns and recommendations are documented

5.5 Post Management Assessment

5.5.1 During the post-performance period of the management assessment, the assessment team leader shall:

- A. Draft the results of the management assessment in a report that includes the following:
  - An executive summary describing the results of the management assessment, including the scope of the assessment, a brief overview of any concerns and any continuous improvement opportunities, and a statement of the overall QA program effectiveness including the adequacy of the QA resources
  - Identification of the management assessment team members
  - Identification of personnel contacted during the management assessment
  - A description of the areas reviewed and the associated results
  - Recommendations for improvement of the QA program and its implementation
  - Identification of the reference source(s) used to conduct the assessment
- B. Obtain assessment team member input and concurrence
- C. Sign the report and forward it to the CBFO Manager for review and approval

5.5.2 The CBFO Manager reviews the management assessment report upon receipt. Upon approval, the report is issued to the appropriate CBFO assistant managers and team leaders for proposed actions.

## 5.6 Follow-up Activities

5.6.1 The assessed CBFO assistant managers or team leaders shall review the management assessment report as it relates to their areas of responsibility. They shall also:

- A. Provide any required responses to the CBFO Manager along with any proposed action plans and schedules pertaining to the management assessment concerns and recommendations.
- B. Review the proposed action plans, and with the CBFO QA Managers input, prioritize them with a range of values using "high," "medium," "low," and "no action."
- C. After approved responses are completed and all corrective measures are implemented, issue a memorandum to the CBFO Manager and QA Manager stating that all committed actions have been completed.

5.6.2 Upon receiving the final management assessment report, and the completion memo(s) from the assessed assistant managers or team leaders, the QA Manager shall:

- A. Track corrective measures to resolution
- B. Ensure that corrective measures were carried out
- C. Ensure processing of the QA records
- D. Provide any other coordination efforts as needed

## 6.0 RECORDS

The following management assessments documents are nonpermanent QA records and shall be processed and maintained in accordance with MP 4.9, Quality Assurance Records:

- The management assessment plan
- The management assessment report
- Follow-up reports on actions taken as a result of the assessment

Training records produced as a result of this procedure shall be processed in accordance with MP 2.1, Personnel Qualification and Training.

## 7.0 ATTACHMENTS

None